

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. Date of Submission: 2010-03-19 17:32:33

2. Agency: 006

3. Bureau: 30

4. Name of this Investment: BIS ECASS2000+

5. Unique Project (Investment) Identifier: 006-30-01-25-01-5501-00

6. What kind of investment will this be in FY 2011?: Mixed Life Cycle

- Planning
- Full Acquisition
- Operations and Maintenance
- Mixed Life Cycle
- Multi-Agency Collaboration

7. What was the first budget year this investment was submitted to OMB? *

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.

The Export Control Automated Support System (ECASS) 2000+ supports the Bureau of Industry and Security (BIS) performance goals to: 1) Maintain and strengthen an adaptable and effective U.S. export control and treaty compliance system, 2) Integrate non-U.S. actors to create a more effective global export control and treaty compliance system, and 3) Ensure continued U.S. technology leadership in industries that are essential to national security. The Bureau performance goals in turn support the Department of Commerce Strategic Goal: 1) Maximize U.S. competitiveness and enable economic growth for American industries, workers, and consumers, and the Department Strategic Objective: 1.2) Advance responsible economic growth and trade while protecting American security. The project objective, to replace the Legacy ECASS system, is critical and urgent because BIS license officers and export enforcement agents depend on the functions of Legacy ECASS to execute the BIS core mission. Legacy ECASS is an antiquated system originally deployed in 1984. BIS also relies on ECASS to exchange export data with the Departments of State, Defense, Energy, and the intelligence community. This information exchange is essential to control dual-use exports, WMD analysis, and process export licenses within the time constraints of Executive Order 12981. These core mission functions are at risk due to inherent reliability and maintainability issues associated with system age. The redesigned system will ensure that BIS is able to continue to support its mission critical functions, and to improve security, data integrity, information exchange and BIS staff productivity, by virtue of a soundly designed system using current standard software and hardware technology, platforms, and application architecture. The project has deployed three major components: 1) SNAP-R which allows for the electronic submission of license applications, 2) IMS-R a case management system used by the Export Enforcement Agents, and 3) BECCI2, a secure application platform which meets NIST and FISMA IT security requirements. The project is on schedule to replace the Legacy ECASS system by the end of fiscal year 2012.

- a. Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**

9. Did the Agency's Executive/Investment Committee approve this request? *

a. If "yes," what was the date of this approval? *

10. Contact information of Program/Project Manager?

- Name: *
- Phone Number: *
- Email: *

11. What project management qualifications does the Project Manager have? (per FAC-P/PM)? *

- Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMIA compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMIA compliance area;
- Not a core financial system; does not need to comply with FFMIA

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
DOCGS35F0378SDG135106NC2075	Firm Fixed Price, Level-of-Effort Term	Y	2006-09-25	2006-09-25	2010-09-24	\$7.6	*	*	*	*	*
BIS 08-0005 (SPAWARSYSCEN Charleston) (Interagency Agreement services to more than one investment)	Interagency Agreement (IA)	Y	2008-06-03	2009-01-09	2013-06-02	\$4.0	*	*	*	*	*
DOCDG135107NC1292	CPFF	Y	2007-10-01	2007-10-01	2011-09-30	\$3.6	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a. If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2005	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	ability to process higher number of applications; more complex applications with same level of staff.	Improve timely processing needed to accomplish case management tasks.	10% decrease in the number of hours needed to accomplish case management tasks.	10% decrease was achieved on scope of the export enforcement cases as defined when this measure was created in FY 2003; however, the complexity of cases has increased with technological change that each individual case is greater overall scope.
2005	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Decrease risk of irrecoverable data loss in existing legacy system; migration of data, and ability to generate 10 most critical reports from migration data base.	0 Reports generated from migration data base (commercial standards based reporting tool)	demonstrate production pilot ability to generate (replace and therefore mitigate risk) 10 most critical ECASS reports generated in production pilot; 5% of total 180 critical report baseline	Completed. Achieved 10% (20 reports)
2007	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Ability to reduce BIS staff management of License applications paperwork (supporting documents).	Currently 95% of export license submissions are submitted electronically; supporting paper documents are processed manually and cannot be submitted electronically.	Annually increase by 20% the number of supporting documents electronically.	As of FY07 supporting documents can be submitted electronically. Electronically submitted supporting documents now accompany 85% of license applications.
2006	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Decrease risk of irrecoverable data loss in existing legacy system; migration of data, and ability to generate 50% of 180 critical reports from migration data base	5% of critical reports (10)	25% of critical reports (50)	Completed December 2005, ECASS-R Stage 1, Version 1.0 Migration Data Base Proof-of-concept production pilot
2007	1.2 Advance responsible economic growth and	*	*	Reduce processing time for dual-use license	FY06 average processing time including full interagency	Reduce average processing time by 10% which	FY07 average processing time for all cases including those

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	trade while protecting American security.			applications.	review was 33 days.	would result in a 3.3 day reduction.	requiring interagency review was 28 days. A greater than 10% reduction.
2008	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Support 10% improvements in Export Enforcement License determinations and pre-license checks.	Currently average processing time for EE license determinations is 52 days.	Improve by 10% average processing time for EE license determinations.	Average processing time improved by more than 10% (to 32 days)
2007	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Implement Improved IT Security Infrastructure to meet more stringent 800-53A requirements.	Certification and Accreditation of ECASS-R meets 800-53 requirements.	Certification and Accreditation of ECASS-R will meet 800-53A requirements in FY07.	In July 2007 the ECASS-R Certification and Accreditation compliant with 800-53A was completed and delivered.
2007	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Ability to exchange data with other agencies necessary for license application interagency review electronically.	Currently data exchange is handled through manual processes including copying, scanning and faxing.	The ability to handle data exchange electronically will exist.	In FY07 with the deployment of SNAP-R data exchange can be handled electronically. External agencies can access SNAP-R directly through their web browser instead of waiting for the transmission paper documents.
2007	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	FISMA Compliancy required of all ECASS-R subsystems.	SNAP sub-system target for replacement FY2007.	SNAP-Redesign (SNAP-R) sub-system will be FISMA compliant.	In FY07 with the deployment of SNAP-R FISMA compliancy regulations were met.
2008	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Support 10% improvements in Export Enforcement License determinations and pre-license checks.	Currently 50% of pre-license checks are processed in less than or equal to 45 days.	Improve by 10% number of pre-license checks processed in 45 days.	Average processing time improved by more than 10% to 36 days.
2008	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Annual testing of the BIS020 (ECASS-R) Contingency Plan.	BIS020 (ECASS-R) Contingency Plan tested 7/31/2007.	Test BIS020 (ECASS-R) Contingency Plan before 9/30/2008.	Contingency Plan Tested 5/8/2008.
2009	1.2 Advance responsible	*	*	Annual testing of the BIS020	BIS020 (ECASS-R)	Test BIS020 (ECASS-R)	ECASS-R Contingency

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	economic growth and trade while protecting American security.			(ECASS-R) Contingency Plan.	Contingency Plan tested 5/8/2008.	Contingency Plan before 9/30/2009.	Plan tested on 6/17/2009.
2008	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Respond to FY07/08 Cyber-espionage threat with compartmentalized high, moderate, and low security Compartmentalized Application Infrastructure (CAI) to secure mission critical export control applications and data.	BIS does not already have compartmentalized systems in place because BIS systems are Sensitive But Unclassified.	Deliver a beta ready version of BECCI2 the high side of the CAI.	Beta ready version of BECCI2 available 7/31/2008.
2009	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Respond to FY07/08 Cyber-espionage threat with compartmentalized high, moderate, and low security Compartmentalized Application Infrastructure (CAI) to secure mission critical export control applications and data.	Beta ready developed version of BECCI2 available 7/31/2008.	Production Deployment of BECCI2 October 2008.	BECCI2 deployed October 6, 2008.
2010	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Annual testing of the ECASS-R Contingency Plan.	Contingency Plan tested 6/17/2009.	Test Contingency Plan before 9/30/2010.	
2010	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Meet FIPS 800-53A requirement to Certify and Accredited BIS020 (ECASS-R) every 3 years.	Certification and Accreditation of BIS020 (ECASS-R) completed 7/31/2007.	Re-Certify and Accredited ECASS-R BIS020 (ECASS-R) before 9/30/2010.	
2011	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Annual testing of the BIS020 (ECASS-R) Contingency Plan.	BIS020 (ECASS-R) Test Contingency Plan before 9/30/2010.	Test BIS020 (ECASS-R) Contingency Plan before 9/30/2011.	
2012	1.2 Advance responsible economic	*	*	Annual testing of the BIS020 (ECASS-R)	Test BIS020 (ECASS-R) Contingency	Test BIS020 (ECASS-R) Contingency	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	growth and trade while protecting American security.			Contingency Plan.	Plan before 9/30/2011.	Plan before 9/30/2012.	
2011	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Meet FIPS 800-53A requirement to Certify and Accredite the ECASS-R system every 3 years.	Certification and Accreditation of ECASS-R meets 800-53 requirements.	Re-Certify and Accredite sub-system IMS-R per FISMA timetable every 3 years.	
2009	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Percent of licenses requiring interagency referral referred within nine days.	98%	95%	99%
2012	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Annual testing of the BIS020 (ECASS-R) Security Controls.	Test BIS020 (ECASS-R) Security Controls before 9/30/2011.	Test BIS020 (ECASS-R) Security Control before 9/30/2012.	
2010	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Percent of licenses requiring interagency referral referred within nine days.	95%	95%	
2011	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Percent of licenses requiring interagency referral referred within nine days.	95%	95%	
2009	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Number of actions that result in a deterrence or prevention of a violation and cases which result in a criminal and/or administrative charge.	881	850	876
2012	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Percent of licenses requiring interagency referral referred within nine days.	95%	Target to be determined.	

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2011	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Number of actions that result in a deterrence or prevention of a violation and cases which result in a criminal and/or administrative charge.	912	1157	
2009	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	ECASS-R system should be user-friendly and easy to use.	Current Search feature is difficult to use, and does not allow global search capability.	Implement improved global search capability.	Project did not receive requested funding therefore the global search feature has been re-planned for a future release.
2010	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Number of actions that result in a deterrence or prevention of a violation and cases which result in a criminal and/or administrative charge.	850	912	
2009	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Complete Redesigned Investigative Management System	Beta ready redeveloped version of IMS-R available 7/31/2008.	Production Deployment of IMS-R October 2008.	IMS-R deployed October 6, 2008.
2008	1.2 Advance responsible economic growth and trade while protecting American security.	*	*	Ability of BIS Export Enforcement to effectively complete their mission depends on an Investigative Management System that is scalable and easy to maintain due to compliance with Information technology standards built on best practices	Current IMS is locked into an outdated technology platform that has serious scalability, maintainability and security limitations based on Legacy Oracle forms and Oracle 8 database platform.	Deliver a beta ready redeveloped version of IMS-R built on a multi-tiered application architecture using J2EE and Oracle 10.	Beta ready redeveloped version of IMS-R available 7/31/2008.
2012	1.2 Advance responsible economic growth and trade while protecting	*	*	Number of actions that result in a deterrence or prevention of a violation and	1157 actions and cases	Target to be determined.	

Table 1: Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	American security.			cases which result in a criminal and/or administrative charge.			

Part II: Planning, Acquisition And Performance Information

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Concept & Requirements Definition Phase	\$1.7	\$1.7	2005-03-01	2005-03-01	2005-09-30	2005-09-30	100.00%	100.00%
Parallel Testing & Final Migration	*	*	2012-04-01		2012-09-30		0.00%	0.00%
FY08 Operations & Maintenance	\$1.6	\$1.6	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
IMS-R Initiation Phase	\$0.4	\$0.4	2006-12-18	2006-12-18	2007-04-15	2007-04-15	100.00%	100.00%
FY09 Operations & Maintenance	\$4.2	\$4.5	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
S3V1 Development	\$2.0	\$1.2	2009-10-01	2009-10-01	2010-03-31	2010-03-31	100.00%	100.00%
IMS-R Acceptance Test & Deployment	\$0.5	\$0.5	2008-05-01	2008-07-01	2008-09-30	2008-10-06	100.00%	100.00%
IMS-R Detailed Analysis & Design	\$0.4	\$0.4	2007-08-31	2007-08-31	2008-01-08	2008-01-08	100.00%	100.00%
SNAP+ Help Desk/O & M	\$0.4	\$0.4	2001-10-01	2001-10-01	2003-09-30	2003-09-30	100.00%	100.00%
FY02 Operations and Maintenance	\$0.1	\$0.1	2001-10-01	2001-10-01	2002-09-30	2002-09-30	100.00%	100.00%
S3V1 Concept and Requirements Definition	\$1.5	\$1.4	2008-10-01	2008-10-01	2009-05-31	2009-05-31	100.00%	100.00%
S3V2 Integrate & Test Phase	*	*	2011-04-01		2011-06-30		0.00%	0.00%
S3V2 Deployment Phase	*	*	2011-07-01		2011-09-30		0.00%	0.00%
Case Management Module	\$1.1	\$1.1	2002-01-14	2002-01-14	2003-01-30	2003-01-30	100.00%	100.00%
O&M Security	\$0.3	\$0.3	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
S3V2 Development	*	*	2011-01-01		2011-03-31		0.00%	0.00%
S3V3 Development Phase	*	*	2012-01-01		2012-03-31		0.00%	0.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Original ECASS 2000+ tasks	\$6.8	\$6.8	2000-03-29	2000-03-29	2004-09-30	2004-09-30	100.00%	100.00%
FY06 Operations & Maintenance	\$0.8	\$0.8	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
FY07 Operations & Maintenance	\$1.0	\$1.0	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
FY11 Operations & Maintenance	*	*	2010-10-01		2011-09-30		0.00%	0.00%
S3V3 Deployment Phase	*	*	2012-07-01		2012-09-30		0.00%	0.00%
IMS-R Development & Test	\$0.9	\$0.9	2008-01-09	2008-01-09	2008-04-30	2008-04-30	100.00%	100.00%
Migration Database & Reporting System	\$1.1	\$1.1	2006-09-01	2006-09-01	2006-12-15	2006-12-15	100.00%	100.00%
Stage 1, V1.0 SNAP-R 1.1 Development and Test	\$1.8	\$1.8	2006-01-01	2006-01-01	2006-10-30	2006-10-30	100.00%	100.00%
S3V3 Concept Requirements & Design Phase	*	*	2011-04-01		2011-09-30		0.00%	0.00%
S3V1 Deployment Phase	*	*	2010-07-01		2010-09-30		15.00%	0.00%
S3V1 Integrate & Test Phase	\$2.0	\$0.3	2010-04-01	2010-04-01	2010-06-30		100.00%	17.00%
FY12 Operations & Maintenance	*	*	2011-10-01		2012-09-30		0.00%	0.00%
S3V3 Integrate & Test Phase	*	*	2012-04-01		2012-06-30		0.00%	0.00%
IMS-R Concept & Requirements	\$1.1	\$1.1	2007-04-16	2007-04-16	2007-08-30	2007-08-30	100.00%	100.00%
FY03 Operations and Maintenance	\$0.5	\$0.5	2002-10-01	2002-10-01	2003-09-30	2003-09-30	100.00%	100.00%
Initiation Phase	\$0.2	\$0.2	2004-12-13	2004-12-13	2005-02-23	2005-02-23	100.00%	100.00%
FY 07 Security and Certification & Accreditation	\$2.5	\$2.5	2007-01-01	2007-01-01	2007-07-29	2007-07-29	100.00%	100.00%
Detailed Design &	\$0.7	\$0.7	2005-10-01	2005-10-01	2006-04-28	2006-04-28	100.00%	100.00%

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Analysis								
FY10 Operations & Maintenance	\$2.5	\$5.1	2009-09-01	2009-10-01	2010-09-30		83.00%	83.00%
S3V1 Detailed Analysis & Design Phase	\$0.9	\$0.8	2009-06-01	2009-06-01	2009-09-30	2009-09-30	100.00%	100.00%
Stage 1, V2.0 SNAP-R 1.2 TRR/PRR	\$0.5	\$0.5	2007-04-01	2007-04-01	2007-08-06	2007-08-06	100.00%	100.00%
S3V2 Initiation Phase	*	*	2010-07-01		2010-09-30		15.00%	0.00%
S3V3 Detailed Analysis & Design Phase	*	*	2011-10-01		2011-12-31		0.00%	0.00%
FY04 Operations and Maintenance	\$0.9	\$0.9	2003-10-01	2003-10-01	2004-09-30	2004-09-30	100.00%	100.00%
FY 05 Operations and Maintenance	\$0.7	\$0.7	2004-10-01	2005-10-01	2005-09-30	2006-09-30	100.00%	100.00%
BECCI2 (Design, Development & Deployment)	\$2.0	\$2.0	2007-10-01	2007-10-01	2008-09-30	2008-10-06	100.00%	100.00%

* - Indicates data is redacted.